June 23, 2003

**National Crime Information Center (NCIC)
TECHNICAL AND OPERATIONAL UPDATE (TOU) 03-2**

SECTION 1 -- MESSAGE TO CONTROL TERMINAL OFFICERS AND FEDERAL SERVICE COORDINATORS

Section 2.1 contains an update of the definition of criminal justice information as it pertains to electronic media.

Section 2.2 contains changes to the Criminal Justice Information Services (CJIS) User Agreement.

Section 2.3 clarifies the issue of timely entry of NCIC 2000 records.

Section 2.4 provides changes and additions to NCIC 2000 sanctions.

Section 2.5 corrects three minor errors found in TOU 01-7 regarding felony guns, gun serial numbers, and gun model numbers.

Section 2.6 details a policy change that requires local agencies to log requesters and/or secondary recipients of Interstate Identification Index (III) records by using a unique identifier.

Section 2.7 lists an addition to the *National Crime Information Center (NCIC) 2000 Operating Manual* (December 1999) to coincide with the *CJIS Security Policy* requirement that agencies provide reasons for III inquiries.

Section 2.8 provides additions and corrections to the *NCIC 2000 Operating Manual* (December 1999) to reflect changes in the ORI portion of that document.

Section 2.9 supplies information on modifying the NCIC Wanted Person File to include detainer information capability.

Section 2.10 lists a change to field edits for the NCIC Boat File.

Section 3 contains additions to the Article Data Codes in the *NCIC 2000 Code Manual* (December 2000).

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Any questions concerning the *NCIC 2000 Operating Manual* (December 1999), *NCIC 2000 Code Manual* (December 2000), or the distribution of TOUs should be directed to the Communications Unit at 304-625-4995.

TOUs are also available via the Internet on Law Enforcement OnLine (LEO) at www.leo.gov/lesig/cjis/programs/ncic/tous/index.shtml. Users with questions concerning access to LEO should contact the LEO Program Office at 202-324-8833.

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SECTION 2 -- SYSTEM CHANGES

2.1   UPDATED DEFINITION OF CRIMINAL JUSTICE INFORMATION

AFFECTED BY CHANGE: **Introduction**

EFFECTIVE DATE: **Immediate**

Background

The CJIS Advisory Policy Board (APB) formed an ad hoc task force to review policies governing electronic records. This task force reviewed the impact of electronic records on National Crime Information Center (NCIC) hit confirmation and validation policies and identified opportunities to improve NCIC effectiveness as criminal justice agencies move toward a paperless environment. Following a recommendation of the initial task force, the APB approved the following change.

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by **highlighting**, and deletions are indicated by ~~strikeout~~.

SECTION 1.1 -- DEFINITION

1.   The National Crime Information Center (NCIC) 2000 is the System replacing the NCIC System. NCIC 2000 has the same mission and the same basic functionality as NCIC but also features new capabilities which are described in this operating manual. Just as NCIC, NCIC 2000 is a nationwide, computerized information system established as a service to all criminal justice agencies—local, state, and federal. The goal of NCIC 2000 is to help the criminal justice community perform its duties by providing and maintaining a computerized filing system of accurate and timely documented criminal justice information. For NCIC 2000 purposes, criminal justice information is defined as "information collected by criminal justice agencies that is needed for the performance of their legally authorized, required function. This includes wanted person information; missing person information; unidentified person information; stolen property information; criminal history information; information compiled in the course of investigation of crimes that are known or believed on reasonable grounds to have occurred, including information on identifiable individuals; and information on identifiable individuals compiled in an effort to anticipate, prevent, or monitor possible criminal activity." **Criminal justice information can be electronic (paperless) or hard copy (paper)**. The NCIC 2000 data bank can best be described as a computerized index of documented criminal justice information concerning crimes and criminals of nationwide interest and a locator file for missing and unidentified persons.

2.2 CHANGES TO THE CRIMINAL JUSTICE INFORMATION SERVICES (CJIS) USER AGREEMENT

AFFECTED BY CHANGE: **Introduction**

EFFECTIVE DATE: **October 1, 2003**

Background

The CJIS Audit Unit (CAU) currently audits each Control Terminal Agency (CTA) every 2 years. The audit includes a review of NCIC and Interstate Identification Index practices. During the audit, the CAU staff conducts a Criminal History Record Information review and also assesses participation in the National Instant Criminal Background Check System and the National Fingerprint File as appropriate. Effective October 1, 2002, the CAU officially included the Uniform Crime Reporting Program's Quality Assurance Reviews, which had been conducted independently of other CAU audits, as part of a full CJIS systems audit to be conducted once during each audit cycle.

The *Government Auditing Standards* (GAGAS), 2002 Revision, Exposure Draft, states that "Audit organizations performing assignments in accordance with GAGAS should have an external peer review conducted at least once every 3 years . . . ." (p. 38). General Accounting Office personnel indicated that they expect the draft policy to be adopted with no revisions concerning the 3-year-audit interval. Consequently, the CAU proposed and the Advisory Policy Board recommended during its fall 2002 meetings that the audit cycles be expanded from 2 years to 3 years beginning October 1, 2003. All agencies that participate in, contribute to, or access a CJIS System will be subject to audits and reviews of all programs simultaneously.

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by ~~highlighting~~, and deletions are indicated by ~~strikeout~~.

SECTION 3.1 -- MAINTAINING SYSTEM INTEGRITY

2. **Audit**

All federal and state CTAs shall establish a system to ~~biennially~~ triennially audit every terminal agency that operates workstations, access devices, mobile data terminals, or personal/laptop computers to ensure compliance with state and FBI CJIS policy and regulations.

In addition to audits conducted by all CTAs, each federal and state CTA shall be audited at least once every ~~two~~ three years by the FBI CJIS audit staff. This audit shall include a sample of state and local criminal justice agencies. The objective of this audit is to verify adherence to FBI CJIS policy and regulations and is termed a compliance audit. In order to assist in this audit, each CTO and FSC will respond to a preaudit questionnaire which will serve as the audit guideline. A compliance audit may be

conducted on a more frequent basis should it be necessary due to failure to meet standards of compliance.

5. Dissemination

All information released is in accordance with applicable laws and regulations, and a record of dissemination of criminal history records is maintained.

In addition, CTAs should ensure that documentation is available from local users to assist in ~~biennial~~ **triennial** state and federal audits.

SECTION 4.2 -- CRIMINAL JUSTICE INFORMATION SERVICES (CJIS) USER AGREEMENT

To ensure continued access as set forth above, the CT~~AO~~/FSC agrees to adhere to all CJIS policies, including, but not limited to, the following:

5. Audit - Each agency shall be responsible for complying with all audit requirements. Each CTO/FSC is responsible for completing a ~~biennial~~ **triennial** audit of all terminal agencies that access the System through the CTO's/FSC's lines.

2.3   MAINTAINING THE INTEGRITY OF NCIC 2000 RECORDS

AFFECTED BY CHANGE: **Introduction**

EFFECTIVE DATE: **Immediate**

Background

During the fall 1998 advisory process, the CJIS Audit Unit (CAU) asked the CJIS Working Groups to review timeliness issues related to NCIC record entry and to provide a definitive policy for the timely entry of records into the NCIC. The Working Groups debated this matter, and even though the groups acknowledged that officer safety is paramount, they concluded that the NCIC policy regarding timely entry should remain unchanged. Historically, when "timely entry" was a compliance issue for a local agency, court delays were often cited as the reason. Those agencies subject to audits believed that law enforcement agencies should not be held accountable for the courts' warrant process.

In preparation for NCIC audits, the CAU continuously monitors System usage. In 2001, CAU staff reviewed reported crimes from 1996 through 2000 and found that serious offenses decreased 15 percent. In reviewing the records, the staff also found that the number of wanted person entries made in the NCIC increased 30 percent over the same time frame. Citing these statistics as evidence of the increasing importance of timely record entry, the CAU asked the Working Groups to revisit the issue during the spring 2002 meeting. Specifically, the Unit asked the Working Groups to clarify the "immediate entry" policy, arguing that the statement, "NCIC records must be entered promptly to ensure maximum System effectiveness" is too vague. A clearly stated policy would also allow the CAU to more fairly assess agencies regarding timeliness of record entries. After discussion, the Working Groups recommended the following clarification to the NCIC Subcommittee and the Advisory Policy Board approved the new language. The clarification applies to all NCIC files.

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by highlighting, and deletions are indicated by ~~strikeout~~.

SECTION 3.2 -- MAINTAINING THE INTEGRITY OF NCIC 2000 RECORDS

2.   **Timeliness**

~~NCIC 2000 records must be entered promptly to ensure maximum System effectiveness. Explanation of "timely entry" as applied to files follows:~~ To ensure maximum System effectiveness, NCIC 2000 records must be entered immediately when the conditions for entry are met, not to exceed 3 days, upon receipt by the entering agency. The only exceptions to immediate entry are when otherwise prescribed by federal law or when documentation exists to support delayed entry.

2.4   CHANGES AND ADDITIONS TO NCIC 2000 SANCTIONS

AFFECTED BY CHANGE: **Introduction**

EFFECTIVE DATE: **Immediate**

Background

At its June 2002 meeting, the CJIS Advisory Policy Board (APB) approved a proposal to modify the procedures published in the *NCIC 2000 Operating Manual* (December 1999) regarding the NCIC sanctions process. Based on comments from law enforcement users and recommendations from the FBI CJIS Audit Unit and statisticians in the Crime Analysis, Research and Development Unit, the changes to the NCIC 2000 sanctions process are intended to provide a fair and adequate method to review audit results of Control Terminal Agencies. Furthermore, the new procedures provide the APB's Ad Hoc Sanctions Subcommittee with progressive levels of enforcement in the sanctions process.

Users should replace Sections 5.8 and 5.9 of the Introduction chapter with the following and insert the new Section 5.9a.

SECTION 5.8 -- INTRODUCTION TO NCIC 2000 SANCTIONS

1.   The sanctions process is an incremental procedure that progressively increases the repercussions for noncompliance with NCIC 2000 policy. A methodology has been established as outlined in Section 5.9 to address the NCIC 2000 sanctions process. Ultimately, purging of an agency's NCIC 2000 records and discontinuance of System access for an agency are the two ultimate sanctions available to FBI Criminal Justice Information Services (CJIS) Division management for enforcement of System policy and procedure.

2.   The sanctions process will under normal circumstances begin after sanctionable findings are identified during the FBI CJIS Division's NCIC audit. Additionally, to ensure continued access to the NCIC, the Control Terminal Agency (CTA) agrees to adhere to all CJIS policies outlined in the CJIS User Agreement. By signing said agreement, the Control Terminal Officer (CTO)/Federal Service Coordinator (FSC) acknowledges responsibility for establishing procedures related to NCIC data quality, security, audit, training, and system integrity. Furthermore, by signing the CJIS User Agreement, the CTO/FSC acknowledges that failure to comply with the CJIS User Agreement subjects the agency to sanctions by the CJIS Advisory Policy Board (APB) which may include the termination of CJIS services.

SECTION 5.9 -- SANCTIONS

The FBI CJIS Division's staff performs quality control checks of NCIC 2000 data. CTAs with serious errors as outlined in the *NCIC 2000 Operating Manual* (December 1999), Section 3.3, Introduction will receive an NCIC-generated message ($.E.—cancel record) via the National Law Enforcement Telecommunication System, Inc., which may require subsequent redirection to the offending agency. The CTA is required to maintain a copy of these messages for follow-up for a minimum of three years. Failure by the CTA to follow up with the offending agency may be addressed during the CTA's next triennial FBI CJIS audit.

FBI CJIS Division staff will send correspondence to CTAs outlining nonserious errors (e.g., improperly placed locates) with a request for the CTA to address the problems noted. The CJIS Audit Unit (CAU) will follow up on the correspondence during triennial audits.

Subsequent to each triennial CTA audit conducted by the CAU, a report of identifiable deficiencies shall be presented to the APB's Ad Hoc Sanctions Subcommittee. If the Subcommittee deems that the deficiencies are severe enough to merit redress, a sanction letter shall be sent to that CTA. The criteria used by the Subcommittee to determine whether or not to implement the sanction process is as follows:

1. Deficiencies that shall be referred to the Sanctions Subcommittee for consideration of implementing the sanction process are as follows:

    a. Extremely high Wanted Person/Vehicle File composite error rate. Extremely high will be measured against the national composite error rate to determine how many standard deviations the CTA is from the mean national composite error rate. (Refer to Section 5.9a for an explanation on computing the mean error rate and standard deviations.)

    b. Extremely high Missing Person File or Protection Order File error rate. Extremely high will be measured against the national error rate for the particular File determining how many standard deviations the CTA is from the mean for the national error rate for the particular File.

    c. Interstate Identification Index (III) misuse.

2. Additional deficiencies, while not as severe as those mentioned above, that shall also be referred to the Sanctions Subcommittee for consideration of implementing the sanction process are as follows:

    a. Marginally high Wanted Person/Vehicle File composite error rate. Marginally high will be measured against the national composite error rate to determine how many standard deviations the CTA is from the mean national composite error rate.

    b. Marginally high Missing Person File or Protection Order File error rate. Marginally high will be measured against the national error rate for the particular File determining how many standard deviations the CTA is from the mean for the national error rate for the particular File.

    c. Lack of compliance with training requirements.

    d. Lack of compliance with CTA audit requirements.

    e. Lack of compliance with validation requirements.

    f. III mandatory Attention Field misuse.

    g. Failure to submit fingerprint cards to FBI for system operators.

    h. Improper disposal of III data.

    i. Lack of compliance with dial-up access requirements.

    j. Lack of compliance with Internet access requirements.

    k. Lack of compliance with security requirements as outlined in the *CJIS Security Policy.*

    l. Other aggravating circumstances affecting proper use of FBI CJIS Division policy not specifically delineated here.

Should the Subcommittee decide that audit deficiencies fall into criteria 1 and/or 2 and require a sanction, the Subcommittee shall recommend to the APB that a progressive series of steps be invoked against the CTA, including the termination of CJIS System access. Under these circumstances, the following progressive actions shall be initiated by the Subcommittee with the concurrence of the APB, or at a minimum, the APB Chair and the FBI Director:

1.   An initial sanction letter shall be sent from the Subcommittee to the CTA identifying deficiencies found during the audit process. The letter shall direct the CTA to submit a response in writing to the Subcommittee outlining a course of action to correct the deficiencies. The CTA will be provided 30 days from the date of the letter to respond to all sanction items unless the Subcommittee and/or FBI CJIS Division management require a more expeditious response.

2.   If the initial response to the sanction letter is deemed insufficient or no response is received within the allotted time, a letter shall be sent to the agency head of the CTA, with a copy to the CTO/FSC, requesting the agency head's assistance in correcting the deficiencies with no threat to terminate service but placing the agency on probationary status. A response to the Subcommittee letter is required from the agency head within 10 days from the date of the letter unless the Subcommittee and/or FBI CJIS Division management require a more expeditious response.

3.   If the response to the letter to the agency head is deemed insufficient or no response is received within the allotted time, a letter shall be sent to the governor or federal agency department head overseeing the CTA, requiring a response to stated deficiencies within 20 days of the date of the letter, and stating that if the response is insufficient, service

will be terminated. If the response to the letter to the governor or federal agency department head is deemed insufficient or no response is received within the allotted time, service to NCIC will be terminated, and all of the CTA's records will be purged from NCIC.

4.   Reinstatement of NCIC service will occur after the CTA provides satisfactory documentation that its deficiencies have been corrected. Upon satisfactory proof that the offending CTA has corrected its deficiencies, the APB in concurrence with FBI CJIS Division management or the FBI independently may reinstate the CTA.

It should also be noted that dependent upon the severity of identifiable deficiencies, the Sanctions Subcommittee, with concurrence of the APB Chair, may recommend that the FBI take action against a CTA and/or an individual agency to immediately discontinue NCIC service. This could include eliminating any of the above-listed steps to expedite a resolution of the deficiency. FBI CJIS Division executive-level management could also take such action in concert with the Subcommittee and the APB Chair or, if needed, the FBI could independently take appropriate action to ensure System integrity.

SECTION 5.9a -- COMPUTATION OF A MEAN ERROR RATE AND STANDARD DEVIATION

Prior to reaching a decision to recommend sanctions, the CAU considers many factors that affect the quality of data received by the FBI. The auditors make every effort to evaluate the data based on objective criteria. For example, one procedure is to compare a CTA's error rate with the national average error rate. This analytical comparison creates a measure of reasonable limits for error rates based on the combined rates for all of the Nation's agencies.

The first step in the analysis is to compute the national mean error rate, or average, which is the sum of all CTA's error rates divided by the number of CTAs in the audit cycle. This is a one-number summary of the Nation's error rates. For example, three CTAs have error rates of 2.0, 4.0, and 6.0, or a mean discrepancy rate of 4.0:

$$2.0 + 4.0 + 6.0 = 12.0;$$
$$12.0 / 3 \text{ (the number of CTAs)} = 4.0$$

Once the national mean error rate is computed, the CAU computes the national standard deviation. This number represents the average diversion of CTA error rates from the national mean. It is derived by subtracting the mean from each CTA's rate, squaring the results, and summing the results of all CTAs. The result is called the sum of squares. The sum of squares is then divided by the number of CTAs in the cycle minus one, which creates the variance. The standard deviation is finally computed by taking the square root of the variance. For example, the following computation yields a standard deviation of 2.0 for the numbers 2.0, 4.0, and 6.0.

CTA	Error Rate	Error Rate - National Average	The Difference Squared
1	2.0	2.0 - 4.0 = -2.0	$(-2.0)^2 = 4.0$
2	4.0	4.0 - 4.0 = 0.0	$(0.0)^2 = 0.0$
3	6.0	6.0 - 4.0 = 2.0	$(2.0)^2 = 4.0$
National Average = 4.0			Sum of Squares = 8.0

$$8 / 2 \text{ (number of CTAs -1)} = 4$$

$$\sqrt{4} = 2.0$$

After the audit process, CTA error rates can be compared to the national mean error rate by applying the Central Limit Theorem to the audit results. The Central Limit Theorem assumes that the distribution of the CTA and agency error rates fall under a bell-shaped curve and that the majority of rates will be close to the national mean error rate. The theory predicts 68 percent of the CTA's error rates will fall within one standard deviation of the mean. This theory also estimates that 95 percent of the agencies fall between two standard deviations of the mean.

Distribution of CTA Error Rates
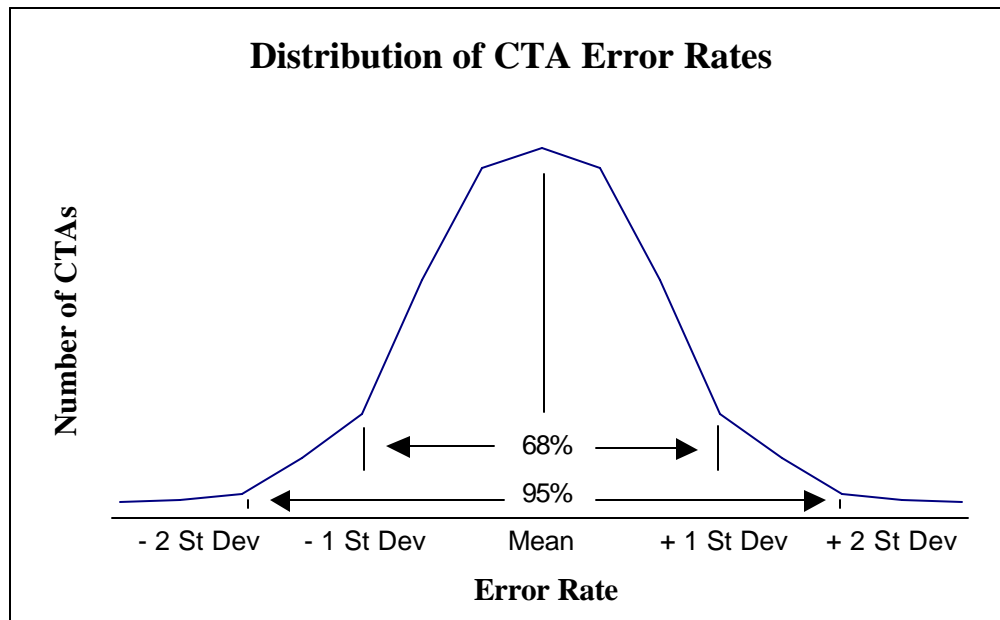
For example, if the mean error rate is 5.0 percent and the standard deviation is 1.5, then it is expected that 68 percent of the CTAs would have error rates between 3.5 and 6.5 percent. Likewise, the CAU would expect that 95 percent of agencies will have discrepancy rates between 2.0 and 8.0 percent. Numbers that are greater than or less than two standard deviations from the mean are typically referred to as statistical "outliers" or anomalies as they do not represent the typical occurrence in the sample or population.

When comparing CTAs' error rates to the national average, those whose error rates are greater than one standard deviation from the national error rate are rated as marginally high. Those whose error rates are greater than two standard deviations from the national error rate are judged to be extremely high.

2.5   NCIC GUN FILE CHANGES TO SUPPORT SYSTEM ENHANCEMENTS FOR FELONY GUNS, GUN SERIAL NUMBER, AND GUN MODEL NUMBER (REVISED)

AFFECTED BY CHANGE: **Gun File**

EFFECTIVE DATE: **Immediate**

Background

TOU 01-7 dated September 28, 2001, was issued to support the NCIC's Build #1. TOU 01-7 included a reissue of the entire NCIC Gun File chapter. The purpose of this TOU 03-2 is to correct three minor errors in the chapter.

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by highlighting, and deletions are indicated by ~~strikeout~~.

GUN FILE CHAPTER:

SECTION 1.3 -- MESSAGE KEY (MKE) CODES

If the gun entered in a stolen or felony gun record should be held for latent fingerprint examination, -P should be entered as part of the message key code; for example, EG-P translates as STOLEN GUN - HOLD FOR LATENTS, and ~~EFG-P~~ EFGP translates as FELONY GUN-HOLD FOR LATENTS.

SECTION 3.3 --   MESSAGE FIELD CODES FOR MODIFICATION

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	~~2-2~~ **2-3**	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10 1-11	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	1-20*	ALPHABETIC, NUMERIC
ORIGINATING AGENCY CASE NUMBER	CONDITIONAL*	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
NAME OF VALIDATOR	OPTIONAL	VLN*	1-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ANY FIELD(S) FROM ENTRY TRANSACTION				

*NCIC 2000 format only

SECTION 4.3 --   MESSAGE FIELD CODES FOR CANCELLATION

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	~~2-2~~ **2-3**	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10 1-11	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	1-20*	ALPHABETIC, NUMERIC
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
DATE OF CANCEL	MANDATORY	DOC	8-8	NUMERIC
REASON FOR PROPERTY RECORD REMOVAL	OPTIONAL	RPP*	10-21	ALPHABETIC, NUMERIC

*NCIC 2000 format only

2.6 POLICY CHANGE THAT REQUIRES LOCAL AGENCIES TO LOG THE INDIVIDUAL REQUESTER AND/OR SECONDARY RECIPIENT OF INTERSTATE IDENTIFICATION INDEX (III) RECORDS USING A UNIQUE IDENTIFIER

AFFECTED BY CHANGE: **Interstate Identification Index**

EFFECTIVE DATE: **Immediate**

Background

At its June 2002 meeting, the CJIS Advisory Policy Board approved a proposal to modify the terminology within the *CJIS Security Policy* and the *NCIC 2000 Operating Manual* (December 1999) regarding the III logging policy. The proposed changes were based on comments from law enforcement users and recommendations from the FBI CJIS Audit Unit staff. The approved changes to the logging policy are intended to 1) accurately and clearly identify the recipient of III data and when appropriate, secondary recipients of III records and 2) provide an audit trail for local, state, and federal agencies to ensure proper logging in the III. Agencies must be able to identify the individual requester and/or secondary recipient of the III data through the unique identifier captured on the log.

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by highlighting, and deletions are indicated by ~~strikeout~~.

SECTION 1 -- SECURITY AND CONFIDENTIALITY

SECURITY AND CONFIDENTIALITY OF CRIMINAL HISTORY RECORD INFORMATION OBTAINED VIA THE III

Authorization to obtain records via the Interstate Identification Index (III) is governed by federal laws and state statutes approved by the U.S. Attorney General which are applicable to the U.S. Department of Justice, Federal Bureau of Investigation, and the National Crime Information Center (NCIC 2000).

Operators shall use the terminal only for those purposes which are authorized.

Copies of III data obtained from terminal devices must be afforded security to prevent any unauthorized access to or use of the data.

III records shall be maintained in a secure records environment. Such storage of records may be for extended periods only when the III records are key elements for the integrity/utility of the case files/criminal record files in which they are retained.

When retention of III records is no longer required, final destruction shall be accomplished in a secure manner so as to preclude unauthorized access/use.

III records should be properly destroyed when the record is no longer current. Because additions or deletions may be made at any time, a new copy should be requested when needed for subsequent use.

The III shall not be used to access a record to be reviewed and/or challenged by the subject of the record. Record requests for this purpose must be submitted in writing either to the FBI Criminal Justice Information Services (CJIS) Division or to the state of record.

The Control Terminal Agency (CTA) shall ensure that all NCIC hot file transactions and III transactions (both Criminal History Inquiry [QH] and Criminal Record Request [QR]) originating from access terminal devices that access NCIC the III through the state system shall be maintained on an automated log. The hot file portion of Tthis log must shall be maintained for a minimum of six months, and the III portion must be maintained for a minimum of one year. The this automated log must clearly shall, in some way, identify the operator individual initiating each of the III transactions, as well as the agency authorizing all the transactions. III logs must shall also, in some way clearly identify the requester and secondary recipient. record recipient. The unique identification on the log must take the form of a unique identifier that must be unique to the individual requester and the secondary recipient throughout the minimum one-year retention period. This information can be captured at log-on and can be a name, badge number, serial number, or other unique identifier.

2.7 *NCIC 2000 OPERATING MANUAL* **POLICY ADDITION TO COINCIDE WITH THE** *CJIS SECURITY POLICY* **REQUIREMENT THAT AGENCIES PROVIDE REASONS FOR INTERSTATE IDENTIFICATION INDEX (III) INQUIRIES**

AFFECTED BY CHANGE: **Interstate Identification Index**

EFFECTIVE DATE: **Immediate**

Background

At its June 2001 meeting, the CJIS Advisory Policy Board (APB) approved a proposal to modify the terminology within the *CJIS Security Policy* regarding the use of III information. The proposed changes were based on recommendations from law enforcement users and a consensus of the APB membership. The approved changes to the Use of Information policy are intended to 1) ensure that agencies can accurately and clearly identify the reason for each III inquiry and
2) provide an audit trail for local, state, and federal agencies to ensure authorized III use.

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by highlighting, and deletions are indicated by ~~strikeout~~.

INTERSTATE IDENTIFICATION INDEX (III)

SECTION 2.1 -- SYSTEM OVERVIEW

4. The Privacy Act of 1974 requires the FBI to maintain an audit trail of the purpose of each disclosure of a criminal history record and the recipient of that record. Therefore, inquiries and record requests transmitted to III must include the purpose for which the information is to be used. The purposes for which certain agencies may use III and the appropriate codes for use are the following:

Code	Agency	Purpose
C	Criminal Justice	Used for official duties in connection with the administration of criminal justice.

Code	Agency	Purpose
J	Criminal Justice Employment	Used when the III transaction involves employment with a criminal justice agency or the screening of employees of other agencies over which the criminal justice agency maintains management control. Criminal justice employment has been separated from other criminal justice purposes due to the requirement of some state agencies participating in III. For those states that are unable to provide a record for a purpose code J inquiry (i.e., state statute), the FBI will provide the record on-line.
I	Interstate-approved Noncriminal Justice	Used when the III transaction involves noncriminal justice employment and/or licensing. Limited to one agency in each state with approved state statutes.
F	Weapons-related Checks	Used when the III transaction involves weapons-related background checks authorized by the state. All firearm-related checks must be made through the National Instant Criminal Background Check System.
D	Domestic Violence and Stalking	Used by civil or criminal courts in domestic violence or stalking cases. ORIs ending in D (those issued to civil courts) are not allowed access to III for any other purpose.
H	Housing	Used when the III inquiry is made under the authority of the Housing Opportunity Extension Act of 1996. Limited to QH inquiries.
A	Administrative File Maintenance	Used when the authorized participating state agency generates a III transaction for internal review. Responses for this purpose code may not be disseminated for any other reason. Response is limited to that state's portion of the record maintained by the FBI; no federal arrest data are provided.

Code	Agency	Purpose
S	National Security	Used when the III transaction is generated by an agency authorized by the Security Clearance Information Act (SCIA) in investigation of individuals for access to classified information or assignment in sensitive national security duties.
V	Visa Applicants	Used when the III transaction is made for the purpose of determining eligibility for visa application. Limited to QH inquiries by the Department of State, Consolidated Immigrant Processing Visa Center.

In addition to the requirement to include a purpose code for each III transaction, all users are required to provide the reason for all III transactions upon request by NCIC System managers/ representatives, CTA representatives, and local agency administrators. The purpose code provides some lead information; however, it provides only a minimal audit trail. By including the reason for each III inquiry, agencies ensure that III transactions are run for authorized purposes and that purpose codes are used correctly.

Clarification

The term "administration of criminal justice" is defined as the performance of any of the following activities: detection, apprehension, detention, pretrial release, post-trial release, prosecution, adjudication, correctional supervision, or rehabilitation of accused persons or criminal offenders. Questions have arisen concerning the use of purpose code C in situations that are not part of a criminal justice investigation but are duties of the agency where a criminal record check is necessary to accomplish the agency's mission. These examples are not all encompassing but will provide clarification of authorized uses of purpose code C.

1.   The security of the criminal justice facility:

1.   Vendors or contractors at the criminal justice agency who are **NOT** involved with the actual administration of criminal justice at the criminal justice agency, e.g., carpet cleaners, individuals responsible for maintaining vending machines, janitors, cooks, etc.

2.   Volunteers at the criminal justice agency who are **NOT** involved with the actual administration of criminal justice at the criminal justice agency, e.g., participants in community ride-along programs, volunteers at a confinement facility who are providing social or community services rather that rehabilitative services, etc.

3.   Confinement facility visitors.

    4.   Inmates of a confinement facility.

    5.   Inmates' mailing lists.

2.   A domestic violence investigation conducted by a law enforcement agency. (This III inquiry is in reference to agency use only. Purpose code D below provides information on court-related inquiries.)

Purpose code J is to be used for criminal justice employment. This code is used to initiate background checks of agency personnel as well as the following:

    1.   Vendors or contractors at the criminal justice agency who **ARE** involved with the actual administration of criminal justice at the criminal justice agency, e.g., personnel involved with maintenance of computer systems, upgrading records systems, data entry clerks, etc.

    2.   Volunteers at the criminal justice agency who **ARE** involved with the actual administration of criminal justice at the criminal justice agency, e.g., volunteer dispatchers, volunteer data entry clerks, volunteers at a confinement facility who are providing inmate rehabilitation, etc.

Purpose code D is used by:

    1.   Civil or criminal courts involved in domestic violence or stalking cases (civil courts are issued D ORIs).

    2.   Law enforcement agencies providing a III record to a criminal or civil court for a domestic violence hearing. (This III inquiry is in reference to court use only. Purpose code C above provides information on inquiries by law enforcement agencies.)

It is imperative that the correct purpose code be used. The Privacy Act of 1974 requires the FBI to maintain an audit trail of the purpose of each disclosure of a criminal history record and the recipient of that record. Therefore, inquiries and record requests transmitted to III must include the purpose for which the information is to be used.

2.8 ADDITIONS AND CORRECTIONS TO THE ORGINATING AGENCY IDENTIFIER (ORI) PORTION OF THE *NCIC 2000 OPERATING MANUAL*

AFFECTED BY CHANGE: **ORI File**

EFFECTIVE DATE: **Immediate**

Background

The ORI staff is now part of the Investigative and Operational Assistance Unit, not the Access Integrity Unit, CJIS Division, FBI. This and other changes to the ORI File in the *NCIC 2000 Operating Manual* (December 1999) are highlighted in this section.

Additions to the *NCIC 2000 Operating Manual* (December 1999) are indicated by highlighting, and deletions are indicated by ~~strikeout~~.

ORIGINATING AGENCY IDENTIFIER (ORI) FILE

SECTION 1.2 -- NCIC 2000 ORI REQUEST AND ASSIGNMENT POLICY

A ~~state~~ Control Terminal Officer (CTO) or a Federal Service Coordinator (FSC) must make requests for ~~ORI~~ assignment or modification of ORI numbers in writing. These requests should be addressed to the FBI, Criminal Justice Information Services (CJIS) Division, ~~Access Integrity Unit~~ Investigative and Operational Assistance Unit, Module E-3, 1000 Custer Hollow Road, Clarksburg, West Virginia 26306-~~0153~~0158. Upon receipt, the requests will be evaluated by FBI CJIS staff to determine if the agency meets the criteria for ORI assignment. Once a determination has been made, the CTO/FSC is notified of the decision in writing.

SECTION 1.3 -- CRITERIA FOR ASSIGNMENT OF A FULL ACCESS ORI

5. Public Law 99-169 (as amended) the Security Clearance Information Act (SCIA) authorizes the Department of Defense (DOD), ~~the National Security Agency (NSA), the Defense Security Service (DSS),~~ the Office of Personnel Management (OPM), the Central Intelligence Agency (CIA), the Department of State (DOS), the Department of Transportation, and the FBI to receive criminal history record information on individuals investigated by them for access to classified information or assignment to or retention in sensitive national security duties. For national security purposes, these agencies have access to all files; however, any inquiry resulting in a positive response must be immediately turned over to a proper law enforcement agency(s) before proceeding with the SCIA investigation. Other NCIC 2000 access, e.g., record entry/cancellation, is prohibited. These agencies are assigned a special ORI ending with the alphabetic character **R** to clearly identify the SCIA agencies.

SECTION 1.4 -- CRITERIA FOR ASSIGNMENT OF A LIMITED ACCESS ORI

9.   The Compact Council (Council), established pursuant to the National Crime Prevention and Privacy Compact Act of 1998, sets forth rules and procedures necessary to regulate the use of the III system for noncriminal justice purposes. In October 2000, the Council established a rule to allow direct access to the III for a preliminary name check pending positive fingerprint identification. This access is authorized in limited situations when exigent circumstances exist that do not reasonably lend themselves to immediate fingerprinting. Authorized governmental agencies, e.g., agencies affiliated with the Department of Children and Family Services, may conduct name inquiries for the emergency placement of children in those limited instances when the primary caretaker (parent or custodian) is unavailable. As a prerequisite, the state must have a statute that has been approved by the FBI under the provisions of Public Law 92-544. Once the FBI on behalf of the Compact Council authorizes access, the ORI staff assigns an ORI ending in the alpha character "T" to the noncriminal justice governmental agency conducting the emergency child placement checks.

SECTION 1.5 -- ORI STRUCTURE AND USE

3.   POSITIONS 6 THROUGH 9 OF CRIMINAL JUSTICE ORIs

FBI CJIS Division staff determines the numeric and alphabetic characters assigned to positions 6 through 9 for criminal justice ORIs as follows:

Positions 6 and 7 are numeric characters uniquely distinguishing one agency from other agencies of the same type and level within the same county. They do not indicate location (e.g., city) of the agency.

For example: PA004**02**3C

Position 8 is a unique numeric character indicating the government level of the agency:

1 - Local, Municipal, City
3 - County
5 - State
7 - Federal
9 - Nongovernmental/Noncriminal justice

For example: PA00402**3**C

Position 9 is an alphabetic character representing the type of agency:

N - Regional dispatch centers ~~which~~ that are criminal justice agencies or ~~under the management control of criminal justice~~ nonoriminal justice governmental agencies performing criminal justice dispatching functions for criminal justice agencies.

T- Social service agencies seeking emergency placement of children in exigent circumstances.

SECTION 1.6 -- Z ORIs

~~The FBI CJIS staff temporarily assigns Z agency identifier numbers to criminal justice agencies to facilitate fingerprint card orders until an NCIC 2000 ORI can be assigned.~~ The "Z" agency identifier Z numbers are ~~also~~ assigned to agencies ~~which~~ that do not meet the criteria for an NCIC 2000 ORI assignment but are authorized by statute to submit fingerprints and to receive criminal history record information from the CJIS Division. The Z numbers are identified by the alphabetic character Z in the ninth position. Agencies with these ORIs are restricted from accessing NCIC 2000 files or III.

SECTION 1.7 -- VALIDATION

ORIs are validated ~~biennially~~ on a biennial basis. As part of the NCIC 2000 validation process, each ORI record is contained in a $.C. administrative message, with all $.C. administrative messages for a CTA/FSC grouped together in a file. The state CTA/FSC is notified by a $.B. administrative message that its file is ready for retrieval.

Each state CTA/FSC is responsible for verifying the accuracy of every ORI accessing NCIC 2000 through the respective state/federal system. The validation process includes verifying an agency's status and authority, as well as the other information listed in the ORI record, e.g., telephone number, street address, and ZIP code. An example of the $.C. administrative message for ORI validation follows:

```
$.C.

NCIC VALIDATION REQUEST (19990925).  YOU MUST VERIFY THE
COMPLETENESS, ACCURACY, AND VALIDITY OF YOUR ORI RECORD.

ORI/FL0130000 ATR/ORI IS ANYCITY PD FL
COU/DADE TYP/1 CT1/407 555-1212
CT2/407 555-1313 CT3/407 555-1414
AN1/METRO-DADE PD AN2/SECOND ADDRESS POLICE DEPARTMENT
SNU/1320
SNA/N W 14TH STREET CTY/MIAMI ST/FL
ZIP/99999-1234
NLC/0001 TUC/0001 OMC/0085 CDC/0085 DTE/19790510 1200 EDT DLU/19980510
```

Additional information concerning validation can be found in the Introduction chapter of this manual.

The Name of Validator (VLN) Field will be returned only when the requester of the record is the entering agency. For all other inquiries, the VLN Field will be suppressed.

SECTION 1.8 -- MESSAGE FIELD CODES, EDITS, AND DEFINITIONS

The following table represents a listing of all message field codes, translations, field sizes, and applicable edits for the data elements found in an ORI record. Fields are listed in alphabetical order by code and not in the order by which they appear in the record.

Message Field Code	Field	Field Size	Edits and Definitions
AN1 AN2 AN3	Agency Name (line 1) Agency Name (line 2) Agency Name (line 3)	1-30	Must be alphabetic and/or numeric. Special characters allowed. May be one to three lines of up to 30 characters each. Appropriate MFC should precede each line.
ATR	Agency Translation	1-47	Must be alphabetic and/or numeric. Represents the agency name and city or an abbreviation thereof.
CDC	*NCIC 2000 Code Manual* Count	1-4	Must be numeric field. Number of code manuals needed.
COU	County	1-20	Must be alphabetic. Name of county in which the ORI is physically located.
CRY	Country	1-30	Must be alphabetic. Must be included if FPP is used. Designates ORI location when it is other than the U.S.
CTY	City Name	1-20	Must be alphabetic. The city in which the ORI is physically located and receives mail.

Message Field Code	Field	Field Size	Edits and Definitions
CT1 CT2 CT3	Confirmation Telephone Numbers* (Primary) (Secondary) (Tertiary)	12-12	Must be three numerics, one space, three numerics, one hyphen, and four numerics. MFC must precede each line. Represents up to three telephone or facsimile numbers for the agency.
DLU	Date of Last Update	8-8	System generated. Represents date of late update (YYYYMMDD).
EML	E-mail Address	3-80	May be alphabetic, numeric, and special characters except period (.). Represents E-mail address of agency.
FOC	FBI Field Office Code	4-4	Must be alphabetic. Represents the FBI Field Office that has jurisdiction over the area in which the agency is located.
FPP	Foreign Postal Code	6-6	Must be alphabetic and/or numeric. Should be entered without hyphens or spaces. Must not include FPP if ZIP is included.
NLC	Newsletter Count	1-4	Must be numeric. Number of *CJIS* newsletters needed.
OMC	*NCIC 2000 Operating Manual* Count	1-4	Must be numeric. Number of operating manuals needed when a revision is printed.
ORI	Originating Agency Identifier	9-9	Must be valid NCIC 2000 assigned ORI.

*NCIC format only.

Message Field Code	Field	Field Size	Edits and Definitions
SNA	Street Name or Post Office Box	1-25	Must be alphabetic, numeric, and/or the special characters of space, hyphen, and/or ampersand. A hyphen entered in this field indicates that the agency has a valid two-line address which consists of name, city, state, and ZIP.
SNU	Street Number	1-7	Must be alphabetic, numeric, and/or the special characters of hyphen and/or slash. If post office box number is entered in the SNA, the SNU should be blank. Indicates the location of the ORI on a particular street.
STA	State Name	2-2	Must be alphabetic. Must match the two characters of the ORI unless the first two characters are NB or US, the TYP is 7, or the first seven characters are DCFBIWA. If NB, NE is allowed in the STA Field. If US, DC, IL, or MD are allowed. If DCFBIWA, DC or WV is allowed. Represents postal abbreviation for state.
TNO	Telephone Number	12-12	Must be three numerics, one space, three numerics, one hyphen, and four numerics. Represents telephone number of agency.
TUC	Technical and Operational Update (TOU) Count	1-4	Must be numeric. Number of TOUs needed.

Message Field Code	Field	Field Size	Edits and Definitions
TYP	Type	1-1	Must be alphabetic and/or numeric. Valid values are 1-8, A, B, C, E, F, R, S, Y, and Z. 1 - state agency; 2 - county agency; 3 - local or city; 4 - federal; 5 - ORIs ending in D, H, I, K, N, O, P, Q, R, U, V, or W; 6 - criminal justice; 7 - foreign/local; 8 - federal, noncriminal justice agency (SCIA) A, B, C are Canadian; E - editorial; F- FSC; R - retired; S - State CTA; Y - CR; and Z - Identification Division. Indicates kind of agency to which the ORI is assigned.
VLN	Name of Validator	3-30	Free text. Unique identifier of the person responsible for validating a record.
ZIP	ZIP Code	5-5	Must be five numerics or five numerics, a hyphen, and four numerics. Must not include ZIP if FPP is included. Represents ZIP code of agency.

SECTION 3.1 -- WHEN TO USE AN ORI MODIFICATION MESSAGE

A modification message is used to add, delete, or change data in an ORI record. A modification message can be made by the FBI CJIS Division staff, the ORI of the record, or the state CTA/FSC. The state CTA/FSC must use the nine-character ORI of the record being modified in the ORI Field.

ORIs and/or CTAs/FSCs may modify only the following fields of an ORI record: CRY, CTY; CT1, CT2, CT3 (NCIC 2000 format); EML; FPP; SNA; SNU; TNO (NCIC

format); ZIP; and VLN. If the first two characters of the ORI are IC and the modification is for a Canadian ORI, in addition to the above, the following fields may be modified: ATR~;~ AN1, AN2, AN3~;~ and TYP. ~TYP can only be modified to R.~ FBI CJIS **Division** staff can modify all fields in the ORI record except the identifier or state code.

SECTION 3.2 -- EXAMPLE OF AN ORI RECORD MODIFICATION MESSAGE

```
1N01HEADER.MO.MD1012600.ORI/MD1012600.CTICT1/301 555-3000
```

Acknowledgment:

```
1L01HEADER MD1012600 ORI/MD1012600 HAS BEEN SUCCESSFULLY UPDATED
```

The above modification transaction example contains: header (1N01HEADER), message key (MO), the ORI making the modification (MD1012600), the identifier of the record to be modified preceded by the message field code (ORI/MD1012600), the field being modified, and the modification (CTICT1/301 555-3000).

2.9 MODIFICATION OF THE NCIC WANTED PERSON FILE TO INCLUDE THE DETAINER INFORMATION CAPABILITY (REVISED)

AFFECTED BY CHANGE: **Introduction**
Wanted Person File

EFFECTIVE DATE: **Immediate**

Background

The following is a correction to TOU 01-7 dated September 28, 2001. Upon review of the TOU, CJIS Division staff found that several modifications were needed. This revised TOU outlines changes to the original TOU.

Additions to the TOU are indicated by highlighting, and deletions are indicated by ~~strikeout~~.

NCIC 2000 INTRODUCTION

SECTION 2.5 -- INQUIRY

    6.   Positive Response to an On-line Inquiry

        ~~19.~~ **20.**   WARNING – A DETAINER HAS BEEN FILED FOR THE SUBJECT OF THIS RECORD. PLEASE CONTACT ORI TO OBTAIN ADDITIONAL INFORMATION.

SECTION 2.6 -- LOCATE

    3.   The only exceptions to placing a locate message occur when the hit contains an extradition limitation or NOEX in the MIS Field, and the agency finding the person is outside the geographical area of extradition. In such a case, the record should not be located ~~unless the individual is being detained on local charges~~. All records on file for the found missing person, apprehended wanted person, or recovered property must be located to ensure that they are in the correct status.

SECTION 2.7 -- CLEAR

    1.   The purpose of a clear message is to indicate location of a missing person, apprehension of a wanted person, **if not detained,** or recovery of property on file in NCIC 2000.

SECTION 2.8 -- ERROR MESSAGES

Additional explanations of "timely":

5.   Timely removal from the file requires immediate removal of the record once the originating agency has documentation that the fugitive has been arrested or is no longer wanted ~~unless being detained~~.

SECTION 2.9 -- ADMINISTRATIVE MESSAGES

INCARCERATING AGENCY NOTIFICATION ($.O.)

Upon entry of detainer information, an unsolicited message is sent to the incarcerating agency. The following is an example of the message:

```
$.O.
PA2022300
INCARCERATING AGENCY NOTIFICATION
ORI/MD1012600 HAS REPORTED THE FILING OF A DETAINER ON
NAM/SMITH, JOHN J NIC/W123456789
PLEASE CONTACT ORI/MD1012600 BEFORE SUSPECT IS RELEASED.

MKE/DETAINED WANTED PERSON-CAUTION
SUICIDAL
ORI/MD1012600 NAM/DOE SMITH, JOHN J SEX/M RAC/W POB/OH DOB/19701010
HGT/510 WGT/175 EYE/BRO HAI/BRO FBI/416249J4 SKN/FAR SMT/SC L EAR
FPC/121011CO141159TTC113 MNU/AS-375145249 SOC/375145249
OLN/N222333444 OLS/MD OLY/2002
OFF/HOMICIDE - WILLFUL KILL - FAMILY - GUN
DOW/19991227 OCA/99-4889
LOCATED/20011024 PA2020000 PA2022300 A345234 DETN
DOD/20010315 DNO/01-1234567890 IRI/PA202230C DIS/20011115 DSE/20020415
INC/PENNSYLVANIA STATE PEN
NIC/W123456789 DTE 1999 1228 0830 EDT
IMMED CONFIRM WARRANT AND EXTRADITION WITH ORI
```

SENTENCE EXPIRATION NOTIFICATION ($.P.)

Five days prior to the date of sentence expiration (date shown in the DSE), the ORI of record will receive a $.P. message. This unsolicited message from NCIC is a reminder to the agency of the subject's pending release and the need to contact the incarcerating agency to arrange extradition. The following is an example of the message:

```
$.P.
MD1012600

SENTENCE EXPIRATION NOTIFICATION
THE FOLLOWING RECORD WILL BE RETIRED IN FIVE DAYS BY THE FBI
COMPUTER BASED ON THE SENTENCE EXPIRATION DATE CONTAINED IN THE
DETAINED WANTED PERSON RECORD
UNLESS ACTION IS TAKEN TO INCREASE THE SENTENCE EXPIRATION DATE

MKE/DETAINED WANTED PERSON-CAUTION
SUICIDAL
ORI/MD1012600 NAM/DOE SMITH, JOHN J SEX/M RAC/W POB/OH DOB/19701010
HGT/510 WGT/175 EYE/BRO HAI/BRO FBI/416249J4 SKN/FAR SMT/SC L EAR
FPC/121011CO141159TTC113 MNU/AS-375145249 SOC/375145249
OLN/N222333444 OLS/MD OLY/2002
OFF/HOMICIDE - WILLFUL KILL - FAMILY - GUN
DOW/19991227 OCA/99-4889
LOCATED/20011024 PA2020000 PA2022300 A345234 DETN
DOD/20010315 DNO/01-1234567890 IRI/PA202230C DIS/20011115 DSE/20020415
INC/PENNSYLVANIA STATE PEN
NIC/W123456789 DTE 1999 1228 0830 EDT
IMMED CONFIRM WARRANT AND EXTRADITION WITH ORI
```

SECTION 3.5 -- HIT CONFIRMATION PROCEDURES

1.	Any agency which receives a record(s) in response to an NCIC 2000 inquiry must confirm the hit on any record(s) which appears to have been entered for the person or property inquired upon prior to taking any of the following actions based upon the hit NCIC record: 1) arresting the wanted person, 2) detaining the missing person, 3) seizing the stolen property, or 4) charging the subject with violating a protection order. Additionally, an agency detaining an individual on local charges where the individual appears identical to the subject of the wanted person record and is within the geographical area of extradition must confirm the hit, regardless of extradition.

WANTED PERSON FILE

SECTION 5.9 -- PROCEDURES FOR HANDLING A HIT

3. ~~When an agency receives a record in response to an NCIC inquiry and the individual is being detained on local charges, the entering agency should be contacted to confirm the identity of the record.~~

3. When an NCIC inquiry returns a record on an individual being detained on local charges and the individual is found within the geographical area of extradition, the inquiring agency must contact the entering agency to confirm the hit.

SECTION 6.1 -- WHEN TO USE A LOCATE MESSAGE

5. When the locating agency intends to hold the subject on local charges, the locate transaction should include DETN in the EXT Field. A locate message should be transmitted only when the individual is found within the geographical area of extradition ~~regardless of extradition.~~

SECTION 6.5 -- LOCATE PROCEDURE

1. Following the two record identifiers, the date of apprehension/location, apprehending/locating agency case number, and the appropriate abbreviation **DETN,** EXTR, or NOEX are next entered, in that order, without field codes. The date of apprehension/location must be entered or the locate message will be rejected. The apprehending/ locating agency case number should be entered to ensure that complete apprehension/locate information is in the record.

   When contacting the originating agency to confirm the warrant, **extradition information must be obtained to include in the locate message**. In the response to any subsequent inquiry on the located record, the date of location, locating agency ORI, locating agency case number, and extradition information will be appended to the wanted person record following the word LOCATED.

   When the locating agency intends to hold the subject on local charges and the individual is found within the geographical area of extradition, the locate transaction should include DETN in the EXT Field.

SECTION 6.6 -- ~~EXTRADITION~~ EXTR/NOEX/DETN IN A LOCATE MESSAGE

NCIC 2000 WANTED PERSON FILE

TABLE OF CONTENTS

DETAINER

SECTION 7.1 -- WHEN TO USE A CLEAR MESSAGE

2.   When the agency that entered the record is officially advised that the wanted person is in custody of another agency unless the individual is being detained.

SECTION 7a -- DETAINER

SECTION 7a.1 -- WHEN TO USE A DETAINER

Detainer information may be appended only to NCIC Wanted Person File records in located status. When an inquiring agency receives a positive response, confirms that the subject is identical, the warrant is outstanding, and authorizes extradition is authorized, it must perform a locate transaction to place the record in located status. If the locating agency intends to hold the individual on local charges, the locate transaction should indicate detention by placing DETN in the Extradition (EXT) Field. At this point, the agency of record should append any detainer information to its record within 5 days of the locate transaction. Appending a detainer will allow the record to remain in NCIC until extradition can occur.

SECTION 7a.2 -- POSITIVE RESPONSE CONTAINING DETAINER INFORMATION

```
1L01HEADER
WV1100010

WARNING- A DETAINER HAS BEEN FILED FOR THE SUBJECT OF THIS RECORD.
PLEASE CONTACT ORI TO OBTAIN ADDITIONAL INFORMATION.

MKE/DETAINED WANTED PERSON - CAUTION
SUICIDAL
ORI/MD1012600 NAM/DOE SMITH, JOHN J SEX/M RAC/W POB/OH DOB/19701010
HGT/510 WGT/175 EYE/BRO HAI/BRO FBI/416249J4 SKN/FAR SMT/SC L EAR
FPC/121011CO141159TTC113 MNU/AS-375145249 SOC/375145249
OLN/N222333444 OLS/MD OLY/2002
OFF/HOMICIDE - WILLFUL KILL - FAMILY - GUN
DOW/19991227 OCA/99-4889
ORI IS ANY CITY CORRECTIONS AGENCY 301 555-1234
LOCATED/20010224 PA2020000 PA2022300 A345234 DETN
DOD/20010315 DNO/01-1234567890 IRI/PA202230C DIS/20010315 DSE/20010415
INC/PENNSYLVANIA STATE PEN
NIC/W123456789 DTE 1999 1228 0830 EDT
IMMED CONFIRM WARRANT AND EXTRADITION WITH ORIT
```

SECTION 7a.3 -- EXAMPLE OF A DETAINER ENTRY

```
1N01HEADER.DW.MD1012600.NAM/DOE SMITH, JOHN J.NIC/W123456789.20010315.
01-1234567890.WV202230C.20010317.20010417.DODDRIDGE REGIONAL JAIL
```

Acknowledgment

```
1L01HEADER
MD1012600
ENTER DETAINER NAM/DOE SMITH, JOHN J NIC/W123456789
```

The above enter detainer information example contains: Header (1N01HEADER), message key (DW), originating agency identifier (MD1012600), two record identifiers (NAM/DOE SMITH, JOHN J and NIC/W123456789), date of detainer (20010315), detainer case number (01-1234567890), incarcerating agency identifier (WV202230C), date incarceration starts (20010317), date of sentence expiration (20010417), and place of incarceration (DODDRIDGE REGIONAL JAIL).

2.10   CHANGE TO THE FIELD EDITS FOR THE NCIC BOAT FILE

AFFECTED BY CHANGE: **Boat File**

EFFECTIVE DATE: **Immediate**

Background

The following is a correction to page 2-7 of TOU 02-2 dated February 11, 2002, under Section 2.5 under the heading Boat Model Year (BYR).

Additions to the TOU are indicated by ~~highlighting~~, and deletions are indicated by ~~strikeout~~.

SECTION 2.5 -- MESSAGE FIELD CODE EDITS FOR ENTRY

4.   BOAT MODEL YEAR (BYR)

The BYR Field must contain the model year during which the boat was manufactured. The BYR may be obtained from the BHN. The ~~BYR~~BHN will be 12 or more characters when the model year is 1985 or later ~~and may be less than 12 characters when~~ unless MISC is entered in the BMA Field.

SECTION 3 -- ADDITIONS TO THE *NCIC 2000 CODE MANUAL*

ARTICLE DATA CODES

The following should be added to:

Section 1.2 -- TYP FIELD CODES ALPHABETICALLY BY ARTICLE NAME

Article Name	Code
Computer Server	DSERVER
Credit Card Scanner	DCCSCAN

Section 1.3 -- TYP FIELD CODES ALPHABETICALLY BY CATEGORY THEN SORTED BY ARTICLE NAME

Article Name	Code
-DATA PROCESSING EQUIPMENT-	
Computer Server	DSERVER
Credit Card Scanner	DCCSCAN

Section 1.4 -- TYP FIELD CODES ALPHABETICALLY BY CODE

Code	Article Name
DCCSCAN	Credit Card Scanner
DSERVER	Computer Server